

A G E N D A

Commission for Higher Education

EXECUTIVE COMMITTEE MEETING

101 W. Ohio Street, Ste. 550
Indianapolis, Indiana 46204
317-464-4400

To Be Held via Conference Call

Tuesday, July 5, 2005

I. CALL TO ORDER -- 11:00 a.m.

II. ROLL CALL OF MEMBERS AND DETERMINATION OF A QUORUM

III. DECISION ITEMS

A. Vendor Recommendation for the E-Transcript Initiative..... 1

B. 2005-06 Perkins Program Decisions and Staff Authority 9

IV. ADJOURNMENT -- Approximately 11:30 a.m.

Those wishing to attend may come to the Commission's office or call the office for conference call instructions.

COMMISSION FOR HIGHER EDUCATION

Tuesday, July 5, 2005

DECISION ITEM A:

Vendor Recommendation for the E-Transcript Initiative

Staff Recommendation

That the Commission for Higher Education authorize staff to negotiate and sign a contract with Docufide, Inc. to provide the requested services described in the Broad Agency Announcement issued on March 22, 2005 to pilot test and implement the E-Transcript Initiative.

Background

At its October 2003 meeting, the Commission authorized staff to initiate activities aimed at developing the capacity to electronically transmit high school transcripts to colleges. In September 2004, the Commission organized a full-day workshop that focused on using XML (Extensible Markup Language, especially suited for web-based applications) for electronically transmitting transcripts, which involved a nationally recognized consultant, and was well attended by representatives from both the secondary and postsecondary sectors. Other activities included securing funding and working with the Department of Education to develop a Broad Agency Announcement (BAA) for soliciting proposals.

On March 22, 2005, the Commission for Higher Education issued a BAA entitled "E-Transcript Initiative: Electronic Transmission of Transcripts between High Schools and Colleges" (see Attachment 2 for requested services section of the BAA). The E-Transcript Initiative will make it more convenient for high school students and high school personnel to transmit transcripts to Indiana colleges and universities. It will also add efficiency and reliability to the process of sending transcripts, and it has the potential to save high schools and postsecondary institutions significant administrative expenses. Furthermore, the Initiative will allow transcripts to be transmitted electronically from high school to high school and from college to college. Funding for the E-Transcript Initiative will come from the Commission from the Indiana Secondary Market for Education Loans, Inc.

The timetable called for proposals to be submitted by April 22, 2005. Commission staff, working together with Department of Education staff and an advisory committee that included representation from two high schools and two universities, interviewed four vendors in late May and early June in connection with proposals they had submitted in response to the BAA. On June 29, the advisory committee, along with Commission and Department of Education

staff, met again for further discussions with two of the vendors and additional evaluations of the proposals.

As stated in the BAA, the following criteria have been used to evaluate the proposals:

1. Provider's experience with projects like this one;
2. Financial stability and strength of Provider;
3. Provider's capacity to deliver the services requested;
4. Costs and fees required by the Provider; and
5. Any other quality or characteristic deemed in the best interests of the State.

The recommendation brought to the Commission for action represents the proposal that best meets these criteria (see Attachment 1 for an Executive Summary of the Docufide proposal). The recommendation to the Commission authorizes the staff to negotiate with Docufide, with the goal of signing a contract by August 1, 2005. It is anticipated that work will then commence on the project as soon as possible, with the design, development, and pilot testing phase scheduled to be completed March 31, 2006, and the implementation phase scheduled for completion by June 30, 2007.

Supporting Documents

- (1) Executive Summary of the Docufide Proposal
- (2) "Requested Services," Broad Agency Announcement, *E-Transcript Initiative: Electronic Transmission of Transcripts between High Schools and Colleges*, Indiana Commission for Higher Education, March 22, 2005.

Executive Summary of the Docufide Proposal

Vendor Background

Docufide, Inc. is a full service provider of electronic transcript exchange between high schools and postsecondary institutions, whose corporate headquarters are located in Los Angeles, California (www.docufide.com). Docufide currently services schools that use 16 different Student Information Systems (SISs) in 15 states with Secure Transcript™, a non-invasive, rapidly deployable electronic transcript service that models and improves on current workflows. Secure Transcript includes the functionality, training, and support services that allow for the transmission of transcripts to all 3,600 regionally accredited two- and four-year postsecondary institutions (and scholarship funds), in the format (electronic data, image, or print) that they desire and are capable of receiving.

Timeline

Phase I (Design, Development, Pilot Testing)	August 1, 2005-March 31, 2006
Phase II (Implementation/Operational Deployment)	April 1, 2006-June 30, 2007

Cost

Phase I (Design, Development, Pilot Testing)	\$180,000
Phase II (Implementation/Operational Deployment)	<u>\$675,000</u>
Total	\$855,000

Services Provided (Partial List)

- Allows all high schools to participate, including schools that have less widely used or even home grown SISs
- Allows all high schools, colleges, and universities to participate in the electronic requesting and tracking of transcripts, including those schools and postsecondary institutions that are not prepared to receive an electronic transcript
- Provides for unlimited transmission of transcripts from Indiana high schools to Indiana colleges and universities
- Allows high school-to-high school exchange of transcripts as part of the contract; the technology also allows college-to-college transmission of transcripts, although this is not part of the proposal, but will be discussed as part of the contract negotiation
- Gives all high schools the option of including out-of-state transmission of transcripts to all regionally accredited colleges and universities nationwide for a fee of \$5 per transcript

from the Broad Agency Announcement

*E-Transcript Initiative:
Electronic Transmission of Transcripts between High Schools and Colleges*

Announced by the Indiana Commission for Higher Education on March 22, 2005

III. REQUESTED SERVICES

A. Project Objectives

The Commission, pursuant to its Enabling Act and in consultation with the Department of Education, seeks input, advice, and proposals from the Providers regarding the following project Objectives:

1. The design, development, and pilot-testing of a system, known as the E-Transcript Initiative, which would allow electronic high school transcripts to be transmitted between Indiana's public and private high schools and Indiana's public and private colleges and universities; and
2. The statewide implementation of the E-Transcript Initiative.

The Commission, in consultation with the Department of Education, seeks to enter into a two-year agreement with the Provider, beginning July 1, 2005 and terminating June 30, 2007. This schedule is designed to permit the State and the Provider to take full advantage of the data collected from the pilot testing that will occur in 2005-06. The Commission requires Providers who wish to enter into a two-year agreement to propose a detailed work plan that accomplishes both Objectives 1 and 2. Refining and extending this workscope with Commission staff will be the first activity undertaken by the Provider, and the revised workscope will be incorporated into the final contract documents with the Provider. The Commission requests proposals that add value to the E-Transcript Initiative. Therefore, while the Commission has provided some specificity about its needs, it welcomes suggestions and alternative strategies from Providers that could lead to a more effective or efficient approach to achieving the two stated project Objectives.

Providers should note that the State of Indiana has not yet determined its long-term role after the two-year agreement expires. The State of Indiana itself may wish to complete implementation of the E-Transcript Initiative through utilizing, purchasing, or licensing the products developed by the Provider. The State of Indiana would also welcome suggestions about its long-term role in fully implementing and sustaining the E-Transcript Initiative.

B. Design, Development, and Pilot-Testing of the E-Transcript Initiative

The Commission and the Department of Education envision a statewide system that will allow all Indiana public and private high schools and all Indiana public and independent colleges and

universities the opportunity to participate in the E-Transcript Initiative. The plan for the design, development, and pilot-testing of the E-Transcript Initiative is outlined below. In the interests of communicating clearly with potential Providers, and in recognition of the need for some commonality in the Provider proposals that are received, the Commission requests that potential Providers adhere to the following schedule for purposes of preparing their proposals:

Design and Development:

July 1, 2005-December 31, 2005

Pilot Testing:

January 1, 2006-March 31, 2006

The Commission, in consultation with the Department of Education, is willing to consider possible contract time schedules other than the one indicated above, but the Provider must present a proposal for the requested schedule.

Listed below are the design, development, pilot testing, and implementation specifications for the E-Transcript Initiative, to which the Provider must adhere:

1. At a minimum, the Provider must design and develop a system that would allow all Indiana public and private high schools to transmit an electronic student transcript to all Indiana public and private colleges and universities (exchanges between the secondary and postsecondary sectors). It is also highly desirable for the Provider to design and develop a system that would also allow electronic transcripts to be exchanged among public and private high schools and among postsecondary institutions (exchanges within the secondary and within the postsecondary sectors).
2. It is highly desirable for the Provider to design an on-line exchange system that utilizes XML and XML-based transcript standards, since this is the direction, in which the State wishes to move. Given that many of Indiana's high schools, and some colleges, may not be accustomed to operating in an XML-based environment for exchanging data, or may even lack the capability of doing so, it is highly desirable for the Provider's proposal to incorporate ways to overcome this deficiency, so that schools will be able to participate in an XML-based system.
3. It is highly desirable for the Provider to design a system that incorporates, to the maximum extent possible, relevant national schemas and standards, such as those developed by the Postsecondary Electronic Standards Council (PESC) and the Schools Interoperability Framework (SIF).
4. In designing and developing the system needed to implement the E-Transcript Initiative, the Provider will need to:
 - a. Assess the software currently utilized by Indiana's public and private colleges and universities to manage their student information systems;
 - b. Analyze data collected by Ball State University on software currently used by Indiana's public and private high schools to implement their student information systems (see Appendix B for a summary of the preliminary results of the Ball State survey of high school administrative software); and

- c. Determine the effort needed to write software that will interface between the software used by high schools, colleges, and universities to maintain their student information systems and the software required to link sending and receiving schools.
- 5. The Provider must design a system, which would verify that requests have been sent, received and acknowledged, and that the transcripts themselves have been sent, received, and acknowledged.
- 6. The Provider must incorporate safeguards into the system that will provide for a secure, encrypted transmission of the transcripts among trusted users.
- 7. The Provider must design a system that addresses the desirability and feasibility of specifying common content and format for the transcripts, keeping in mind the need for flexibility, so that new data items could be added in the future. In this regard, the Provider will need to take into account schemas and standards developed by PESC and SIF.
- 8. It is highly desirable for the Provider to design a system that would allow information about individual courses – such as course number, title, number of units or credits, and when a course was taken – to be separately identified and recorded in a student’s transcript, which would allow, for example, analyses to be conducted on the pattern of courses taken in high school by in-coming college freshmen or the success of college transfer students who took particular courses.
- 9. The Commission requires the pilot testing of the system developed to implement the E-Transcript Initiative to be successfully completed prior to statewide deployment. With respect to the pilot test, the Commission:
 - a. Expects that all forms of the pilot testing would take place in 2005-06, in preparation for 2006-07 statewide operational deployment, although another timetable suggested by the Provider for accomplishing this task would be considered;
 - b. Anticipates pilot testing that includes five public colleges and universities and involves at least 2,000 students enrolled in at least ten high schools, although another plan suggested by the Provider for accomplishing this task would be considered;
 - c. Requires that all appropriate confidentiality, integrity, and security measures – including secure servers, encrypted transmissions, and fully protected student identifiers – be applied to any and all pilot testing;
 - d. Requires that all formats and mechanisms for communicating directly with students and high school, college, and university personnel during the pilot test receive prior authorization by the Commission, in consultation with the Department of Education; and
 - e. Reserves the right to determine whether the pilot-testing results are satisfactory, and if not, what program changes are necessary.

C. Implementation of the E-Transcript Initiative

The plan for the implementation of the E-Transcript Initiative is outlined below. In the interests of communicating clearly with potential Providers, and in recognition of the need for some

commonality in the Provider proposals that are received, the Commission requests that potential Providers adhere to the following schedule for purposes of preparing their proposals:

Implementation/Operational

Deployment:

April 1, 2006-June 30, 2007

The Commission requires the Provider to provide all additional services necessary to implement and deploy the E-Transcript Initiative in a production or operational environment over a minimum period of fifteen months.

1. For purposes of planning and budget preparation, the Commission expects that all public Indiana high schools, which are or will be soon XML-capable, and all public Indiana colleges and universities will want to participate in the E-Transcript Initiative. For purposes of the Provider's cost proposal, the Provider should plan for and assume participation by all Indiana public and private high schools and all Indiana public and independent colleges and universities. The Commission strongly prefers a cost proposal that includes a cost structure based on 65,000 annual high school graduates.
2. The system developed by the Provider to implement the E-Transcript Initiative must be available to all high school students, and the Provider must propose a plan for appropriate accommodations to all students.
3. The Commission places great importance on confidentiality, integrity, and security. Accordingly, the Provider should propose the specific security measures considered appropriate for student information exchange of the type envisioned here.
4. The Provider should assume access to and use of high school and school corporation data as maintained by the Department of Education. This data is the property of the local high schools, their school corporations, or the State of Indiana. The potential Provider is reminded that new materials developed as a result of this BAA will be the property of the State of Indiana.
5. The Provider will be responsible for all operational and support tasks associated with implementing the E-Transcript Initiative over the time period of April 1, 2006-June 30, 2007, including:
 - a. Overseeing the transmission of individual transcripts to colleges;
 - b. Training to teach end users how to use the system;
 - c. Developing and publishing web and print instructions and other communications to schools;
 - d. Providing on-going technical support for end users at the high schools and colleges;

- e. Developing appropriate security arrangements for the exchanging of student information; and
- f. Developing promotional materials.

The Provider is cautioned that any proposed plan for addressing the components above must anticipate a committee review/signoff process involving Commission staff, in consultation with Department of Education. The Commission also requires that all formats and mechanisms for communicating directly with students and high school, college, and university personnel during the implementation of the E-Transcript Initiative receive prior authorization by the Commission, in consultation with the Department of Education.

D. Project Advisory Committee

The Commission, in consultation with the Department of Education, will form a Project Advisory Committee, which will help to oversee the two-year agreement with the Provider. The Project Advisory Committee will consist of representatives from various stakeholders in the success of the E-Transcript Initiative, including high schools, postsecondary institutions, and professional groups. The Provider is required to work with the Project Advisory Committee on a regular basis and furnish information requested by the Commission on behalf of the Committee.

COMMISSION FOR HIGHER EDUCATION

Tuesday, July 5, 2005

DECISION ITEM B:

2005-06 Perkins Program Decisions and Staff Authority

Staff Recommendation

That the Commission for Higher Education authorize administration of the Perkins program as summarized in the attached Administrative Authorities Memorandum, dated June 1, 2005, pending finalization of the Memorandum of Understanding between the Commission for Higher Education and the Department of Workforce Development.

Background

The Indiana Department of Workforce Development (DWD) administers Indiana's federal grant for the Carl D. Perkins Vocational and Technical Education Act of 1998. These monies were awarded upon Indiana's successful completion of the Indiana Unified Strategic Five-Year Plan to which the DWD is the lead agency. Public Law 217 (1987), which restructured vocational technical education in Indiana, called for the Commission for Higher Education to collaborate with Commission for Career and Technical Education (formerly the Commission of Vocational and Technical Education) in developing a plan for postsecondary technical education. One responsibility (as referred to in the state's biennial appropriation act) is the administration of postsecondary activities under the Perkins Act.

As stipulated in the enabling federal statute, allocations of state basic grant funding (Title II, Part C) for postsecondary institutions are based on the number of Pell Grant recipients in occupationally-specific programs. Notifications of the draft allocations for FY2006 have been distributed to the institutions with guidelines to update their respective Five Year Local Plans as appropriate.

Over the course of the fiscal year, Commission staff is responsible for managing the day-to-day operations for the Perkins program. Staff is seeking authority from the Commission on the following:

- Approval of program rules and budget.
- Approval of reimbursement requests.
- Approval of budget change requests, up to \$50,000 per instance without additional review.

Each year the Commission enters into a Memorandum of Understanding with the DWD that allows Commission staff to administer the postsecondary Perkins allocation. The MOU that covers the FY2006 administration of the Perkins program is still under negotiation. Commission staff seeks authority to move

forward with administering the FY2006 Perkins programs following finalization of the FY2006 MOU.

Supporting Document

Administrative Authorities Memorandum, June 10, 2005.

Commission for Higher Education

Administrative Authorities Memorandum, June 1, 2005

Carl D. Perkins Vocational and Technical Education Act of 1998

(effective date: July 1, 2005)

Commission Responsibility	Administration of postsecondary activities under the Carl D. Perkins Vocational Education and Technical Education Act of 1998.
Cognizant Agency	Department of Workforce Development
Program Agreement	Annual Memorandum of Understanding with DWD containing scope of work
Nature of Staff Work	<ol style="list-style-type: none">(1) Development of the local basic grant application format for eligible postsecondary institutions.(2) Management of the review process of the local basic plans to conclude whether the postsecondary institutions' grants should be approved.(3) Receipt of postsecondary institution expense reports and processing of claims for reimbursement under program rules.(4) Review changes in activities/budget as requested by the postsecondary institutions to conclude approval based on program rules and scope of local plan.(5) Collect and compile core indicators performance measures as reported by the postsecondary institutions.(6) Submit an annual report detailing activities to DWD.
Term for Project	July 1, 2005 through June 30, 2006
Approximate Funding	\$8,503,514, approximately 25% of funds will be available on July 1, 2005 and the remaining 75% of funds will be made available on October 1, 2005 (estimated figure provided by the U.S. Department of Education and is subject to change prior to release of actual figure on July 1, 2005).
Commission Actions	<ol style="list-style-type: none">(1) Approval of staff authorities.(2) Review of project activity and accounts.
Forms of Agreement	<ol style="list-style-type: none">(1) Basic annual MOU with DWD.(2) Guidelines/application used in approving requests.
Staff Authority Sought	<ol style="list-style-type: none">(1) Approval of program rules and budget.(2) Approval of reimbursement requests.(3) Approval of budget change requests, up to \$50,000 per instance without additional review.